

REPLACEMENT SHEET

FIG. 4A, Fund Order Entry Form

NEXT SEGMENT	TRANSACTION TYPE	AUTOROUTE ID
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Fund/SERV		ORDER						
Data: S/SID 01/25 = Firm								
Field Name	Start	End	Len	Type	Description	On/Req	Reject Code	
Physical Sequence Number	1	2	2	A/N		R	004	
Logical Sequence Number	3	4	2	A/N	01	R	004	
Originator Type	5	5	1	A/N	B = Firm T = TPA	R	187	
Filler	6	7	2	A/N	Space	R		
Firm Number	8	11	4	N		R	008	
Firm Suffix	12	14	3	A/N	See Fund/SERV manual	O	154	
Record Type	15	17	3	A/N	001 = Order	R	002	
Test Indicator	18	18	1	A/N	0 = Production 1 = Test	R	122	
Priority Indicator	19	19	1	A/N	0 = Normal 1 = High priority	O	151	
Fund Number	20	23	4	N		O	100	
Fund Suffix	24	26	3	A/N	See Fund/SERV manual	O	155	
Security Issue Country Code	27	28	2	A/N	Space. For future use	R		
Security Issue ID	29	37	9	A/N		R	007	
Security Issue Check Digit	38	38	1	A/N	Space. For future use	R		
Security Issue Type	39	40	2	A/N	24 = Money Market 25 = Load Fund 26 = No Load Fund	R	150	
Control Number	41	55	15	A/N		R	005	
Correction Indicator	56	56	1	A/N	Space	R	006	
Transaction Type	57	57	1	A/N	0 = Single purchase 1 = Letter of intent 2 = Rights of accumulation 3 = Net asset value 4 = Group purchase	R	017	

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FIG. 4B, Fund Order Entry Form

Transaction Code	58	59	2	A/N	5 = CDSC liquidation 01 = Initial purchase 02 = Subsequent purchase 03 = Partial liquidation 04 = Full liquidation Must be 03 or 04 if Transaction Type = 5	R	018
Submission Date (+)	60	67	8	N	mmddccyy	R	101
Trade Date (+)	68	75	8	N	mmddccyy	R	016
Book/Physical Share Indicator	76	76	1	A/N	0 = Book shares - firm name 1 = Book shares - customer name 2 = Physical shares 3 = Both book and physical shares Must be 0 or 1 for Money Market trades	R	015
PI Delivery Indicator	77	77	1	A/N	Required for all purchases if Book/Physical Share Ind = 2. 0 = Deliver to customer 1 = Deliver to firm 2 = Deliver to agent for firm	OC	039
Filler	78	78	1	A/N	Space	R	
Settlement Override Reason Code	79	80	2	A/N	Required if Anticipated Settlement Date is provided. 01 = Wrap fee account 02 = 401K 03 = Other	OC	179
NSCC Rejection Indicator	81	81	1	A/N	Input: Space Output: 0 = Accepted by NSCC 1 = Rejected by NSCC 2 = Rejected by NSCC, multiple errors	R	

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FIG. 4C, Fund Order Entry Form

NSCC Reject Code	82	84	3	A/N	Input : Space Output: Reject code	R	
TPA Number (I)	85	88	4	A/N	Required if Originator Type = T or Membership Identifier = 02	OC	188
Filler	89	100	12	A/N	Space	R	

	PREVIOUS SEGMENT	NEXT SEGMENT	TRANSACTION TYPE	AUTOROUTE ID
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Fund/SERV					ORDER		
Datatrak S (SID: 01/25) = Firm					record 2 of 5 (required)		
Field Name	Start	End	Len	Type	Description	Opt/Req	Reject Code
Physical Sequence Number	1	2	2	A/N		R	004
Logical Sequence Number	3	4	2	A/N	02	R	004
Filler	5	7	3	A/N	Space	R	
Share Quantity	8	21	14	N	9,999,999,999.9999 Optional if full liquidation; Not allowed if Dollar Amount > 0.	RC	019
Customer Account Number at Firm	22	41	20	A/N		R	020
Fund Account Indicator	42	42	1	A/N	0 = New account - domestic 1 = New account - foreign 2 = Existing account - domestic 3 = Existing account - foreign	R	010
Customer Account Number at Fund	43	62	20	A/N	Required for all non-networked liquidations (Network Control Ind = 0 and Trans Code = 03 or 04)	OC	011

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FIG. 4D, Fund Order Entry Form

IRA/DCP Indicator	63	63	1	A/N	0 = Not applicable 1 = Current year payment 2 = Prior year payment 3 = IRA rollover 4 = Asset transfer 5 = Employee - prior year 6 = Employee - current year 7 = Employer - prior year 8 = Employer - current year 9 = Non-fund prototype IRA A = Non-fund qualified plan B = Defined contribution plan	R	013
Agent for Firm Number	64	67	4	A/N		O	
Network Control Indicator	68	68	1	A/N	0 = Non-networked 1 = Matrix level 1 2 = Matrix level 2 3 = Matrix level 3 4 = Matrix level 4	R	047
Fraction Indicator	69	69	1	A/N	0 = Round up 1 = Round down 2 = Issue fraction 3 = Not applicable	R	014
Gross Settlement Indicator	70	70	1	A/N	0 = Not applicable 1 = Settle net 2 = Settle gross	R	094
Participant Processing Time	71	76	6	N	hhmmss 000000 (midnight) to 235959	O	168
Membership Identifier	77	78	2	A/N	01 = Trust member 02 = Networking info required for TPA	O	181
Filler	79	100	22	A/N	Space	R	

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FIG. 4E, Fund Order Entry Form

Fund/SERV		ORDER					
Data/SID: 01125		record 3 of 5 (required)					
Field Name	Start	End	Len	Type	Description	Opt/Req	Reject Code
Physical Sequence Number	1	2	2	A/N		R	004
Logical Sequence Number	3	4	2	A/N	03	R	004
Filler	5	7	3	A/N	Space	R	
Dollar Amount (+)	8	23	16	N	99,999,999,999,999.99 Optional for non Money Market trades if full liquidation; Not allowed for non Money Market trades if Share Quantity > 0. This amount will be settled by NSCC for Money Market purchase if no confirmation has been received	RC	019
Currency Indicator	24	26	3	A/N	Space. For future use	R	110
Anticipated Settlement Date (+)	27	34	8	A/N	mmddccyy Required if Settlement Override Reason Code is provided	OC	180
Branch Identification Number	35	43	9	A/N		R	035
Related Trade Indicator	44	44	1	A/N	0 = No 1 = Yes	R	065
Related Trade Identifier	45	46	2	A/N	Required if Related Trade Indicator = 1	OC	105
Customer Name	47	66	20	A/N		R	063
SSN/EIN Indicator	67	67	1	A/N	0 = Tax ID number 1 = Social security number	R	102
SSN/EIN Number	68	76	9	A/N		R	103
Liquidation Indicator	77	77	1	A/N	Required if Trans Type = 5. 1 = Gross 2 = Net 3 = No sales charge - other	OC	046

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FIG. 4F, Fund Order Entry Form

					4 = CDSC waiver due to correction 5 = Death 6 = Disability 7 = Mandatory distribution 8 = Systematic withdrawal		
NAV Reason Code	78	78	1	A/N	Required if Trans Type = 3. 0 = Other 1 = Net asset value transfer 2 = Repurchase 3 = Employee 4 = Error correction 5 = Wrap fee account 7 = Commissionable defined contribution plan 8 = Non-commissionable defined contribution plan	OC	104
State of Sale	79	80	2	A/N	Required for new purchases	OC	012
Filler	81	100	20	A/N	Space	R	